

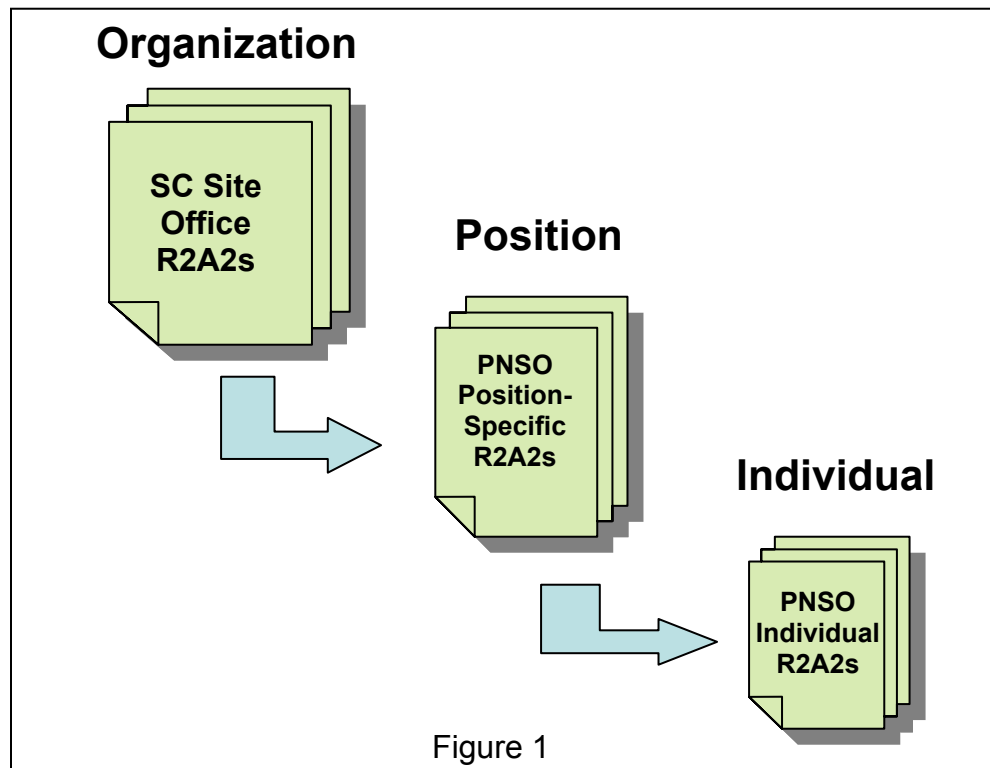
PNSO Roles, Responsibilities, Accountabilities, and Authorities

Effective Date: **October 2004**

Point of Contact: Ted Pietrok 372-4546

This document defines the roles, responsibilities, accountabilities, and authorities (R2A2s) for the DOE Office of Science's (SC's) Pacific Northwest Site Office (PNSO). The PNSO became effective on December 5, 2003 with the signing of a Secretarial memorandum and the subsequent transfer of 34 Environmental Management (EM) FTEs to SC on December 14, 2003. The PNSO operated under existing R2A2s documented in the Richland Integrated Management System until the end of FY 2004. With the recent transfer of Head Contracting Activity to SC, transfer of property to SC, and addition of new staff within the PNSO, these R2A2s have been updated to reflect new responsibilities and assignments.

As illustrated in Figure 1, the R2A2s are classified hierarchically within three levels. The top-level organizational R2A2s have been defined by SC and are discussed first. The next level includes the position-specific assignments within PNSO, which are designed to collectively meet the top-level SC R2A2s. Finally, the lowest-level R2A2s identify more specific roles and responsibilities at the individual level. The combination of these three levels of R2A2s provides PNSO members with a comprehensive understanding of their responsibilities within the organization.



SC Site Office R2A2s

As part of the SC Restructuring Project (OneSC), SC has developed R2A2s for SC Site Offices (see Attachment 1). The SC R2A2s clearly articulate the site office's responsibility to directly manage the Laboratory contract through the following roles:

- 1) **Contract Management** - setting and communicating expectations, integrating DOE requirements, authorizing and funding work and providing feedback to the contractor
- 2) **Program Implementation** - monitoring operations, reviewing and approving work and coordinating activities related to assigned programs and projects.
- 3) **Federal Stewardship** - maintenance and protection of Federal assets.
- 4) **Internal Operations** - management of the Site Office staff and administrative systems to assure effective operations.

The PNSO organizational structure and management system are designed to provide a solid framework for meeting these SC R2A2s. Within this framework, PNSO has adopted some unique and innovative approaches to Laboratory management, consistent with the "Principles for Office of Science Laboratory Contracts" issued by DOE Undersecretary Robert G. Card on April 30, 2002 (which have been incorporated into PNNL Contract DE-AC06-76RL01830). One of the concepts is that, while DOE maintains its traditional contractual oversight role, it will also work in partnership with the Contractor to assure that the Laboratory and its resources are renewed and enhanced to meet future mission needs. This partnering role allows DOE and the Contractor to collaborate and agree on a common vision and strategic plan for the Laboratory Institution and to work together to achieve its outcome. The second concept is that the Contractor provides annual assurance to DOE that the system of management controls is adequate to assure that the objectives of the management system are being accomplished and that the systems and controls are effective and efficient. This assurance process, once validated, will allow DOE to transition from more rigorous compliance-based oversight to less rigorous systems-based performance management (similar to the concepts articulated in DOE Policy 450.5 for ES&H oversight).

PNSO Position-Specific R2A2s

The PNSO has identified 7 position-specific R2A2s in order to meet the top-level SC R2A2s. Three of these position-specific R2A2s (Supervisors, Team Leaders, and Staff) relate to the organizational responsibilities within the Site Office. The other four R2A2s (Contracting Officers/Contracting Officer Representatives, Program Managers, Management System Stewards, and Subject Matter Experts) are related specifically to the SC roles. An individual staff member may be subject to multiple position-specific R2A2s depending on their official position within the organization as well as the activities they have been assigned by their supervisor. The detailed position-specific R2A2s are provided in Attachment 2.

PNSO Individual R2A2s

Within PNSO, individuals are provided with more specific roles and responsibilities than are provided in the general position-specific R2A2s identified above. These roles and responsibilities are provided through documents such as an Individual Performance Plan (IPP), the Management System Assignment Matrix, the PNSO Management System Description, and PNSO-specific procedures.

On an annual basis, supervisors and employees sign an IPP, which identifies assignments and responsibilities. PNSO IPPs are currently kept on file with the Human Resources organization at the DOE Oak Ridge Office.

In addition to responsibilities assigned in the IPPs, PNSO management has assigned specific individuals (and backups) with responsibility for oversight of the 20 PNNL management systems. The matrix identifying these assignments is provided in attachment 3.

Various other individual responsibilities have been identified by PNSO management in official PNSO procedures and plans. These include, but are not limited to, the Performance Assurance Procedure, the Proposal and Work Authorization Procedure, the Contract Management Plan, the Quality Assurance Program Description, the Federal Employees Occupational Safety and Health Plan, the Functions, Responsibilities, and Authorities Document, the PNSO Performance Management Plan, and the PNNL Performance Evaluation & Measurements Plan.

Site Office “To Be” Roles, Responsibilities, Authorities, and Accountabilities

Roles	Responsibilities	Authorities	Accountabilities
Role1: Contract Management: <i>Setting and communicating expectations, integrating DOE requirements, authorizing and funding work and providing feedback to the contractor</i>	1. Serve as the DOE Contracting Officer.	Per delegated authority from the HCA	HCA
	2. Serve as the DOE Contracting Officer Representative.	Per delegated authority from the HCA; CO warrant; COR letter	HCA
	3. Negotiate and modify the Laboratory contract, as required.	Per delegated authority from the HCA; CO warrant	HCA
	4. Authorize payment of costs and fee under the contract provisions.	Allottee, CO warrant	HCA and Allottee depending on the issue
	5. Seek approval from the HCA for those required approvals that are not delegated to the SO.	Per delegated authority from the HCA	HCA
	6. Review and approve contract deliverables.	Per delegated authority from the HCA; CO warrant; COR Letter	HCA, SC-1 (through SC-3)
	7. Enforce the contract requirements.	Per delegated authority from the HCA	HCA
	8. Determine the applicability of policy, administrative, operational, and programmatic requirements from all sources (including external requirements). Develop a single set of integrated requirements and place these into the contract.	HCA and DOE Policy and Orders, depending on the issue	HCA, SC-1 (through SC-3)
	9. Periodically review the contract and modify to keep current.	Per delegated authority from the HCA; CO warrant	HCA
	10. Provide formal direction and guidance to the contractor.	Per delegated authority from the HCA; CO warrant; COR Letter	SC-1 (through SC-3)
	11. Develop contract performance measures and include in the contract.	Per delegated authority from the HCA; CO warrant	HCA, SC-1 (through SC-3)
	12. Periodically evaluate contractor performance, develop performance ratings and provide feedback to the Laboratory.	Per delegated authority from the HCA; CO warrant; COR Letter	HCA, SC-1 (through SC-3)
	13. Review, approve, and oversee contractor business and administrative systems, such as financial, property (intellectual, real, personal), human resources, litigation, small business, etc. consistent with applicable contract requirements.	Per delegated authority from the HCA; CO warrant; COR Letter	SC-1 (through SC-3)
Role 2: Program Implementation: <i>Monitoring</i>	1. Based on acceptable risk, scope and definition, authorize work through formal processes (LDRD Approval Process, Project Directives, Technical Work Plans. etc.).	Per DOE Policy and Orders; CO warrant; COR Letter	HCA, SC-1 (through SC-3)
	2. Perform program management/implementation as delegated by program sponsors.	Per the sponsoring organization	SC-1 (through SC-3)

Roles	Responsibilities	Authorities	Accountabilities
<i>operations, reviewing and approving work and coordinating activities related to assigned programs and projects.</i>	3. Serve as the federal project manager for line-item construction and infrastructure projects at the laboratory (as assigned through the PEP).	Per DOE Policy & Orders concerning Project Management and Infrastructure	SC-1 (through SC-3)
	4. Coordinate all DOE and external reviews, evaluations, and inspections of the Laboratory.	SC-1 expectations or DOE Policy or Orders or external regulations depending on the issue	SC-1 (through SC-3)
	5. Participate, as appropriate, in reviews, evaluations, and inspections of the contractor by DOE and/or other external reviewers of both programmatic and operational areas.	SC-1 expectations or DOE Policy and Orders or external regulations depending on the issue	SC-1 (through SC-3)
	6. Participate, as requested, in the planning and establishment of overall SC expectations and directions and provide feedback.	SC-1 expectations	SC-1 (through SC-3)
	7. Seek approval for activities where authority does not reside within the SO.	HCA or per DOE Policy and Orders depending on the issue	SC-1 (through SC-3)
	8. Conduct negotiations with other federal agencies, as appropriate, related to WFO agreements, Technology Transfer (including CRADAs), Interdepartmental Work Orders and other agreements.	Per DOE Policy and Orders	SC-1 (through SC-3)
	9. Serve as the point-of-contact for integrating the needs of SC and others, such as other DOE Assistant Secretaries, other agencies, federal and non-federal sponsors and stakeholders.	SC-1 expectations or sponsoring organization expectations depending on the issue	SC-1 (through SC-3) and other Assistant Secretaries, as required
	10. Ensure safe, secure, reliable, and efficient operations of government assets through oversight and operational awareness (includes ES&H, QA, Security, NEPA, PAAA, Cyber-security, Davis Bacon, and other areas).	Per DOE Policy and Orders, depending on the issue.	HCA, SC-1 (through SC-3)
	11. Respond to and provide input to the Annual Field Budget Call and other special financial and budget information requests.	Per DOE Policy and DOE Financial Orders	Allottee, SC-1 (through SC-3)
	12. Assess the adequacy of the contractor's management systems and self-assessment programs.	Per DOE Orders concerning the specific management system	SC-1 (through SC-3)
	13. Develop a "sense of the Laboratory", including a general knowledge of the Laboratory science and technology programs, as well as, the Laboratory operations.	SC-1 expectations	SC-1 (through SC-3)
	14. Provide subject matter experts and support, as requested and available, to HQ-SC, Support Centers, or other SC Site Offices in achieving the overall SC mission. This can include staff expertise for project reviews, readiness reviews, policy development, etc.	SC-1 expectations	SC-1 (through SC-3)

Roles	Responsibilities	Authorities	Accountabilities
Role 3: Federal Stewardship: <i>Maintaining and protecting Federal assets.</i>	1. Review and assess the long-term stewardship needs of the Laboratory including contractor operations to assure protection of workers, site assets (both physical and intellectual), the public, and the environment and take action, as appropriate. Use tools such as the ESH&I Management Plan, FMFIA, Institutional Plans, and others as well as information gathered through routine operational awareness activities.	Per DOE Policy and Orders concerning ES&H, NEPA, Real Estate, etc.	SC-1 (through SC-3)
	2. Coordinate with DOE-HQ, the contractor and other potential stakeholders to determine the optimal allocation of resources to meet these stewardship needs. This includes the review and assessment of Laboratory support activities (such as, administration, overhead activities, maintenance, GPP, GPE, IGPP, physical security, etc.) against stewardship requirements and approval of the annual allocation of resources.	Per DOE Policy and Orders depending on the issue	SC-1 (through SC-3)
	3. Serve as the owner for transactions affecting the government's rights in federal assets, such as transfers of interest and execution of permits.	Per DOE Policy and Orders or external regulations depending on the issue	SC-1 (through SC-3)
	4. Maintain effective working relationships and communication with DOE-HQ, the Laboratory, the respective contractor, and appropriate federal, state and local agencies, including those responsible for regulatory oversight.	SC-1 expectations and/or external regulations depending on the issue	SC-1 (through SC-3)
	5. Oversee the Laboratory's community stakeholder and media relations programs.	SC-1 expectations and DOE Public Affairs/Public Relations Orders	SC-1 (through SC-3)
	6. Provide feedback to SC and other HQ Program sponsors on the HQ planning and direction activities that impact the Laboratory site or infrastructure.	SC-1 expectations	SC-1 (through SC-3)
Role 4: Internal Operations: <i>Managing the AO/SO staff, resources, and administrative systems to assure effective operations.</i>	1. Manage the SO, assigned staff, and associated budgets (i.e. travel, training, awards, salaries, employee relations, recruiting, etc.).	Per DOE Orders concerning travel, Human Resources, etc.	SC-1 (through SC-3)
	2. Develop appropriate tools and techniques (such as standard operating procedures) to successfully accomplish the assigned SO roles, responsibilities, and functions.	SC-1 expectations	SC-1 (through SC-3)
	3. Seek required expertise from the Support Centers to assist the SO, as necessary.	SC-1 expectations and DOE Orders, consistent with the need for specific expertise	SC-1 (through SC-3)
	4. Conduct self-assessments and revise internal SO planning, based on results and lessons learned.	SC-1 expectations	SC-1 (through SC-3)

PNSO Position-Specific R2A2s

Supervisor

Role: Directly supervise and evaluate staff's work.

Responsibilities:

- Support staff development in response to customer needs.
- Prepare plans and budgets and manage assigned resources.
- Ensure staff is effectively used, rewarded, and motivated.
- Help staff understand their role in PNSO's overall strategy and direction.
- Evaluate, correct or improve staff performance.
- Assign staff and recommend staff actions.
- Help staff perform work in a safe, secure, and environmentally compliant manner.
- Set expectation that staff use established SC and PNSO processes and procedures.
- Ensure quality of products and services delivered.

Accountabilities:

- To assigned staff for
 - resource management and capability development
 - the quality of work life.
- To staff to protect health and safety.
- To their manager for
 - stewardship of assigned resources
 - ensuring quality federal products and services are delivered in a safe and secure manner
 - self-assessment of their organization
 - compliance with SC and PNSO policies and procedures.

Authorities:

- Accept work.
- Assign staff.
- Evaluate staff performance.
- Approve performance improvement plans.
- Expend assigned funds.
- Mitigate hazards and/or Safeguards & Security threats/risks associated with work conducted by assigned staff.

Team Leader

Role: Facilitate efficient work processes. Note: These are individual contributors who do not have supervisory responsibilities nor conduct performance appraisals. Duties are delegated by the supervisor.

Responsibilities:

- Align team priorities with management's priorities.
- Identify, distribute, and balance workload.
- Ensure team work assignments are completed.
- Maintain good working relationships among team members and management.
- Provide team progress/performance input to supervisor.

Accountabilities:

- To the team for
 - leadership that is aligned with management's priorities
 - focus by giving clear direction and setting clear expectations
 - representation of the team in dealings with the supervisor for the purpose of obtaining resources (e.g., computer hardware and software, use of overtime or compensatory time), and securing needed information or decisions from the supervisor on major work problems and issues that arise.
- To their manager to ensure quality federal products and services are delivered safely, completely, and in a timely manner.

Authorities:

- Accept work.
- Mentor team members.
- Mitigate hazards and/or Safeguards & Security threats/risks associated with work conducted by team members.

Staff

Role: Perform assigned work consistent with PNSO Management System and applicable performance/work plans.

Responsibilities:

- Perform work safely, effectively, efficiently and to the quality required by the customer.
- Report mismanagement; waste, fraud, or abuse; unsafe conditions; security issues; etc.
- Identify hazards and stop unsafe work.

- Complete work activities in accordance with PNSO policies, operating principles, crosscutting processes, procedures, and program descriptions.
- Develop and manage career goals.
- Keep capabilities and qualifications current.
- Mentor other staff.
- Identify, report, and protect intellectual property, other proprietary information, and/or national security assets.
- Support the continuous improvement of the PNSO organization.

Accountabilities: (To Supervisor/Team Leader/Team)

- Complete assigned work on time, on budget, and in accordance with expectations.
- Perform quality work.
- Maintain expertise.
- Adhere to ES&H and Safeguards & Security performance and compliance.
- Identify opportunities for improvement.
- Comply with SC and PNSO policies, processes, and procedures.

Authorities:

- Provide input to annual Performance Management System.
- Identify equipment and facility needs.
- Stop work if an ES&H or Safeguards & Security concern exists.

Contracting Officer

Role: Prepare, execute, and administer assigned contracts in accordance with warranted authority.

Responsibilities:

- Find legal acquisition methodology to meet program/project needs.
- Solicit, award, administer, and close out contracts and financial assistance agreements.
- Ensure contractor compliance with contract requirements.
- Interpret procurement policy and requirements.
- Comply with procurement laws, regulations, and policy.
- Direct and authorize the contractor to accomplish contract objectives in support of the DOE mission.

Accountabilities:

- To the taxpayer for prudent use of appropriated funds.
- To the Government for protecting its interests.
- To the Head of Contracting Activity for adhering to applicable procurement policy and not exceeding delegated authority.
- To PNSO Site Office Manager, for the procurement and delivery of high quality, cost effective products and services.

Authorities:

- Enter into, administer, and or/terminate contracts and financial assistance agreements.
 - Document related determinations and findings, waivers, and deviations.
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Contracting Officer's Representative

Role: Assist the Contracting Officer in the technical administration of a contract.

Responsibilities:

- Provide overall monitoring of the contract in such areas as issuing technical direction, interpreting specifications, approving drawings, monitoring expenditures, etc.
- Keep the Contracting Officer informed of the contractor's progress and provide prompt notification of any contractual problems or issues.

Accountabilities:

To the Contracting Officer and contractor for providing technical direction to contractors that is within their Contracting Officer's Representative designation limitations and within the terms and conditions of the contract.

Authorities:

Provide technical interpretation, guidance, and approval to contractors, within the limitation of their designation letter.

Management System Steward

Role: Develop, maintain, and provide oversight of management system(s) as assigned in the "PNSO Point-of-Contract Matrix for PNNL Management Systems" (see Attachment 3).

Responsibilities:

- Assure appropriate requirements are included in Laboratory contract. Pursue contract modifications as necessary to keep contract current and relevant as it relates to each management system.
- Assure contract requirements are appropriately translated to working levels within the organization and that working level processes, tools, and procedures are clear and relevant.
- Assure contractor performs according to approved procedures and processes.
- Document assurance activities in a timely manner within the PNSO Capture Tool.
- Provide training and information to other staff regarding important activities/processes that are within assigned management system.

- Pursue continuous improve performance of management systems by working in partnership with Laboratory contractor. Set clear expectations and measure performance on a quarterly basis against those expectations.

Accountabilities:

- To supervisor for:
 - Assuring effectiveness of assigned management system(s)
 - Partnering with Laboratory contractor to maintain and improve stewardship of the Laboratory.
 - Delivering high quality feedback on management system performance.
- To staff for ensuring delivery of management system information needed for effective and safe operations of the Laboratory.

Authorities:

- Concur with management system performance objectives, indicators, and measures.
- Approve official documents that are developed through Laboratory management systems, as appropriate (e.g., Safety Basis Documentation, Regulatory Reports, etc.).

Subject Matter Expert

Role: Act as the acknowledged authority for a specific body of knowledge or topical area.

Responsibilities:

- Provide input to the Management System Stewards on management systems, crosscutting processes, and procedures, as requested.
- Provide input to the Contracting Officer/Contracting Officer's Representative to ensure contractor requirements are appropriately addressed in the DOE Laboratory contract.
- Provide input to the Program Managers on requirements and performance related to specific program areas, as requested and in accordance with PNSO procedures.
- Analyze requirements in area of expertise.
- Stay current on subject matter.

Accountabilities:

- To a Management System Stewards, Contracting Officers/Contracting Officer's Representatives, and Program Managers for maintaining the effectiveness of assigned process(es).
- To staff for ensuring delivery of goods, services, standards, and procedures needed for safe, effective, and efficient operations.
- To PNSO for ensuring that requirements are appropriately analyzed and implemented through operating principles processes, and procedures.
- To Management System Stewards, Contracting Officers/Contracting Officer's Representatives, and Program Managers for delivering high quality, cost effective products and services.

Authorities:

- Define methods for implementing requirements documents.
 - Develop crosscutting processes.
 - Serve as the authority having jurisdiction when so designated.
 - Act to improve management system operations.
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PNSO Management System Assignment Matrix

	PNNL Management System	PNSO Lead	OD Lead	PNSO Backup	PD Lead	PNNL POC	MSO	PNNL Org
1	Acquisition Management	PD		Dawson	Davis	Melius	Barnaby	BSS
2	Communications	PD		Coronado	Talbot	Bengston	Fernette	ED&Comm
3	Environmental	OD	Aldridge	Pietrok		Ikenberry	Ikenberry	ESH&Q
	Emergency Preparedness [Security]	OD	Collantes	Suess / Briggs		Bettendorf	Amacker	F&O
4	Facility Management	OD	Escamillo	Warren		Pittman	Montgomery	F&O
5	Facility Safety	OD	Escamillo	Aldridge		Graham	Dossett	ESH&Q
6	Financial Management	PD		Moody/ Vickerman	Mendez	Conger	Baranouskas	BSS
7	Human Resource	PD			Coronado	Phelps	Linnen	HR
8	Information Resources	PD		Moody	Angulo	Johnson	Johnson	ESTD
9	Integrated Planning & Assessment	OD	Swafford	Suess	Biancosino / Turner	Mohler	Mohler	Stratg Pln
10	Integrated Environment, Safety and Health	OD	Pietrok	Swafford		Wright	Kimmel	ESH&Q
11	Project Management	PD	Warren	Henderson	Biancosino	Mitchell	Mitchell	BSS
	Quality	OD	Swafford	Collantes		Steele	Kimmel	ESH&Q
12	Radiological Control	OD	Briggs	Aldridge		Ford	Dossett	ESH&Q
13	Records	PD			Moody	Anderson	Schwenk	ED&Comm
14	Safeguards and Security	OD	Suess	Carlson		Amacker	Amacker	F&O
15	Scientific and Technical Information	PD		Biancosino	Moody	Novak	Novak	ED&Comm
16	Standards-Based Management System	OD	Collantes	Swafford		Hoenes	Hoenes	ESH&Q
17	Technology Commercialization	PD		Angulo	Moody	Cejka	Schwenk	ED&Comm
18	Training and Qualification	OD	Escamillo	Suess		Lyons	Lyons	ESH&Q
19	University and Science Education Programs	PD		Day	Williams	Estes	Rogers	FSD
20	Worker Safety and Health	OD	Briggs	Aldridge		Caldwell	Dossett	ESH&Q

Product Approval Form

1. Product Type:

☒ Crosscutting Process/Procedures ☐ Program Description ☐ Management System Description

☐ Other (describe): _____

2. Product Title:

PNSO Roles, Responsibilities, Accountabilities, and Authorities

3. Brief explanation and justification:

Update of the PNSO Roles, Responsibilities, Accountabilities, and Authorities (R2A2s) from the previous AMT R2A2s to reflect current responsibilities and assignments. DOE P 450.4 identifies the Integrated Safety Management Guiding Principle #2, which states, "Clear and unambiguous lines of authority and responsibility for ensuring safety shall be established and maintained at all levels within the Department and its contractors." These R2A2s along with the PNSO FRA Document accomplish this guiding principle for PNSO. In addition, these R2A2s serve the need related to many other DOE management directives for clearly identifying federal roles and responsibilities.

Note: Explain purpose of new product, revision, or cancellation.

4. Request submitted by:

Ted Pietrok

Name (Print)

Signature

Date

10/19/04

5. Requirement Document: Does a requirement (or requirements) drive this product? If so, please specify (e.g., legal requirement, R2A2, SC requirement, etc.)

Yes ☒ Please Specify DOE P 450.4 No ☐

6. Actions identified for product implementation:

☒ "awareness" or briefing approach (classroom training, staff meetings, one-on-one, computer-based self study)

_____ revisions to other processes and procedures, program descriptions, or other products.

_____ other, explain: _____

7. Representative User Concurrence:

Carrie Swafford Bennett

Name (Print)

Signature

Date

10/18/04

Note: A representative user's concurrence is not necessary for minor revisions or cancellations.

8. Division Director Concurrence:

Roger Christensen

Name (Print)

Signature

Date

10/22/04

Debbie Trader

Name (Print)

Signature

Date

10/25/04

Note: Concurrence is required by any Division Director who will be subject to requirements contained in the product:

9. PNSO Manager Approval: *KE*

Paul Kruger

Name (Print)

Signature

Date

11-03-04

Note: Signature approves this product for deployment on the PNSO web site.